



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ashkenazi, et al. Docket No.: 39780-1618P2C39
Serial No.: 09/904,992 Group Art Unit: 1636
Filing Date: July 12, 2001 Examiner: Leffers Jr., Gerald G.
For: **SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC
ACIDS ENCODING THE SAME**

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.97

MS: Box DD

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

☐ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):

☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)

-- OR --

CERTIFICATE OF MAILING (37 CFR 1.10(a))

CERTIFICATE OF MAILING BY "EXPRESS MAIL" - Rule 10: I hereby certify that this correspondence is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" under 37 CFR 1.10 as **Express Mail No. EV3467280761** S addressed to: Mail Stop No-Fee Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: May 27, 2003

Cheryl Ann Rogers
Cheryl Ann Rogers

- ☐ (2) It is being filed within 3 months of entry of a national stage
-- OR --
- ☐ (3) It is being filed before the mail date of the first Office Action on the merits
-- OR --
- ☐ (4) It is being filed before the mailing of a first Office Action after the
filing of a request for continued examination under § 1.114.

☒ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

☐ a certification as specified in §1.97(e) is provided below; **or**

☒ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

A. a certification as specified in §1.97(e) is completed below; and

B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**

C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$180.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 08-1641 (Docket No. 39780-1618P2C39).

Respectfully submitted,

Dated: May 27, 2003

By: 
Ginger R. Dreger, Reg. No. 33,055

HELLER EHRMAN WHITE & MCAULIFFE, LLP

Customer No. 34589

275 Middlefield Road

Menlo Park, CA 94025-3506

Tel: (650) 324-7000

Fax: (650) 324-0638



SHEET 1 OF 5

INFORMATION DISCLOSURE STATEMENT PTO-1449	ATTY. DOCKET NO. 39780-1618P2C39	SERIAL NO. 09/904,992
	APPLICANT Ashkenazi et al.	
	FILING DATE: 07/12/01	GROUP: 1636
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	Fong et al; "Composition comprising a PRO230, PRO216 or PRO302 polypeptide, agonist or antagonist for promoting or inhibiting angiogenesis and/or cardiovascularisation in mammals", P_AAF30502; WO200119987-A1, Pat 29 May, 2001, filed: November 29, 1999.	
	Fong et al; "A composition comprising PRO230, PRO216 or PRO302 polypeptides, agonists or antagonists useful for promotion or inhibition of cardiovascularisation, angiogenesis or endothelialisation in mammals", P_AAA13199; WO200015792-A2, Pat 20 July 2000, filed: September 13, 1999.	
	Chen, et al; "New isolated human genes and polypeptides used in, e.g. treatment of gastrointestinal ulceration", P_AAX52258; WO9914328-A2, Pat 25 June 1999, filed: September 16, 1998.	
	Fong et al; "Composition comprising human polypeptides with anti-angiogenic activity", P_AAX25445; WO9914234-A2; Pat 19 July 1999, filed: September 14, 1998.	
	Ashkenazi et al; "Sixty one nucleic acids encoding PRO polypeptides which are useful in the treatment of skin diseases, cancers and neurodegenerative diseases", P_AAF72416; WO200104311-A1, Pat 24 April 2001, Filed: Feb. 22, 2000.	
	Baker et al; "One hundred and eighty seven nucleic acids encoding PRO polypeptides, useful in diagnosis and treatment of cardiovascular, endothelial or angiogenic disorders in a mammal", P_ABL95586; WO200208284-A2, Pat 19 July 2002, Filing: July 9, 2001.	
	Baker et al; "One hundred and eighty seven nucleic acids encoding PRO polypeptides, useful in diagnosis and treatment of cardiovascular, endothelial or angiogenic disorders in a mammal", P_ABL88097; WO200200690-A2, Pat 16 May 2002, Filing: June 20, 2001.	
	Fong et al; "Promotion or inhibition of angiogenesis and cardiovascularization," AX098272; WO0119987-A11, Pat 2 Apr, 2001, Pub: Mar. 22, 2001.	
	Baker et al; "Composition and methods for the diagnosis and treatment of disorders involving angiogenesis" AX454466; WO0208284-A 51; Pat 6 July 2002, Pub: Jan 31, 2002.	
	Wood et al; "Secretory and transmembrane polypeptide and nucleic acid encoding the same" BD075577; JP2001516580-A 210, Pat 27 Aug. 2002, Oct 2, 2001.	
	Wood et al; "Secretory and transmembrane polypeptide and nucleic acid encoding the same" BD173394; JP2002238588-A 210, Pat 18 Feb. 2003.	
	Wood et al; "Secretory and transmembrane polypeptide and nucleic acid encoding the same" BD173075; JP2002238587-A 210, Pat 18 Feb. 2003.	
	Baker et al; "Composition and methods for the diagnosis and treatment of disorders involving angiogenesis" AX490944; WO0200690-A51; Pat 16 Aug. 2002.	
	Wood et al; "Secretory and transmembrane polypeptide and nucleic acid encoding the same" BD172756; JP2002238586-A 210; Pat 18 Feb. 2003.	
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



SHEET 2 OF 5

INFORMATION DISCLOSURE STATEMENT PTO-1449	ATTY. DOCKET NO. 39780-1618P2C39	SERIAL NO. 09/904,995
	APPLICANT Ashkenazi et al.	
	FILING DATE: 07/12/01	GROUP: 1636
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	Wood et al; "Secretory and transmembrane polypeptide and nucleic acid encoding the same" BD172437; JP2002223786-A 210; Pat 18 Feb, 2003.	
	Wood et al; "Secretory and transmembrane polypeptide and nucleic acid encoding the same" BD175428; JP2002253280-A 210; Pat 18 Mar, 2003.	
	Miano et al. "New retinoid-inducible serine carboxypeptidase proteins and nucleic acids, useful for detecting or treating vascular diseases, e.g. vascular hyperplasia, atherosclerosis, asthma, glomerulonephritis, hypertension" P_ABV72656; WO200268599-A2, Pat 29 Nov, 2002.	
	White et al; "Identifying a gene involved in disease for treating hypoxia-regulated conditions, comprises comparing the transcriptome/ proteome of two cell types under different conditions and identifying a differentially regulated gene" P_ABV77921; WO200246465-A2, Pat 12 Nov, 2002.	
	Cho et al; "Cloning of novel serine carboxypeptidase precursor" Direct submission to Microbiology, Kyung Hee University, Hoeki 1, Seoul, Korea; AF282618; Submitted 26 June, 2000, Priority 27 Sep, 2000.	
	Chen et al; "Cloning of a novel retinoid-inducible serine carboxypeptidase from vascular smooth muscle cells" NM_021626; J. Biol. Chem. 276 (36), 34175-181 (2001).	
	Ota et al; "Primer sets for synthesizing polynucleotides, particularly the 5602 full-length cDNAs defined in the specification, and for the detection and/or diagnosis of the abnormality of the proteins encoded by the full-length cDNAs" P_AAH15579; EP1074617-A2, Pat 26 June, 2001.	
	Schlegel et al; "Novel isolated nucleic acid molecule associated with cancerous state of prostate cells and correlating with presence of prostate cancer, useful for detecting presence of prostate cancer, stage of prostate cancer" P_ABV28721; WO200160860-A2; Pat 16 Sep, 2002.	
	Isogai et al; Direct submission to Helix Research Institute, Genomics Laboratory, 1532-3 Yana, Kisarazu, Chiba 292-0812, Japan; AK027373; submitted 10 May, 2001.	
	Ota et al; "Primer for synthesizing full-length cDNA and use thereof"; BD157571; JP 2002191363-A12414; Pat 17 Jan, 2003.	
	Schlegel et al; "New isolated nucleic acid for diagnosing and treating cervical cancer and for assessing and detecting compounds for treating the cancer"; P_AAH72787; WO200142467-A2; Pat 19 Sep, 2001.	
	Schlegel et al; "Genes, compositions, kits, and methods for identification, assessment, prevention and therapy of cervical cancer"; AX188369; WO0142467-A 4064; Pat 6 Aug, 2001.	
	Kato et al; "Human proteins with hydrophobic domains and the nucleic acids encoding them, useful for preventing diagnosing and treating e.g. cancer, Alzheimer's and inflammation"; P_AAD12590; WO200149728-A2; Pat 25 Sep, 2001.	
	Kato et al; "Human proteins having hydrophobic domains and DNAs encoding these proteins"; AX191563; WO0149728-A85; Pat 15 Aug, 2001.	
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

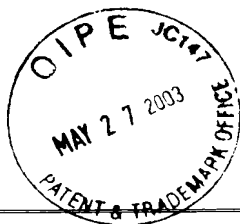


SHEET 3 OF 5

RECEIVED
JUN 02 2003
TECH CENTER 1600/2800

INFORMATION DISCLOSURE STATEMENT PTO-1449	ATTY. DOCKET NO. 39780-1618P2C39	SERIAL NO. 09/904,992
	APPLICANT Ashkenazi et al.	
	FILING DATE: 07/12/01	GROUP: 1636
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	Liu et al; Direct submission to Molecular Medical Center for Cardiovascular Disease, Cardiovascular Institute, 167, Bei Li Shi Lu, Beijing 100037, P.R. China; AF113214; submitted 15 Dec, 1998.	
	Shimkets et al; "Novel nucleic acids and peptides derived from open reading frame X, useful for treating e.g. cancers, proliferative disorders, neurodegenerative disorders and cardiovascular disease," P_AAC75884; WO200058473-A2, Pat 8 Feb, 2001.	
	Robison, K. E.; "New polynucleotides encoding protease homologs of the G-protein-coupled protease family, useful in identifying agonists and antagonists for diagnosis and treatment of protease mediated disorders," P_ABK30363; US6331427-B1, Pat 23 Apr, 2002.	
	Ford et al; "Novel bone-marrow-expressed polynucleotides and polypeptides, useful for treating e.g. cancer and immune deficiency disorders," P_AAH89926; WO200153453-A2; Pat 1 Oct, 2001.	
	Kato et al; "Human proteins having hydrophobic domains and DNAs encoding these proteins," AX191553; WO0149728-A75; Pat 15 Aug, 2001.	
	Fong et al; "Composition comprising a PRO230, PRO216 or PRO302 polypeptide, agonist or antagonist for promoting or inhibiting angiogenesis and/or cardiovascularisation in mammals", P_AAB20341; WO200119987-A1, Pat 29 May, 2001, filed: November 29, 1999; Publication date: 22 March 2001.	
	Ota et al; "Primer sets for synthesizing polynucleotides, particularly the 5602 full-length cDNAs defined in the specification, and for the detection and/or diagnosis of the abnormality of the proteins encoded by the full-length cDNAs" P_AAB93913; EP1074617-A2; Pat 26 June, 2001; Publication date: 07 February 2001.	
	Kato et al; "Human proteins with hydrophobic domains and the nucleic acids encoding them, useful for preventing diagnosing and treating e.g. cancer, Alzheimer's and inflammation"; P_AAE06595; WO200149728-A2; Pat 25 Sep, 2001; Publication date: 12 July 2001.	
	Fong et al; "Composition comprising a PRO230, PRO216 or PRO302 polypeptides, agonists or antagonists useful for promotion or inhibition of cardiovascularisation, angiogenesis or endothelialisation in mammals", P_AAY88378; WO200015792-A2, filed: September 13, 1999; Publication date: 23 March 2000.	
	Chen, et al, "New isolated human genes and polypeptides used in, e.g. treatment of gastrointestinal ulceration", P_AAY13387; WO9914328-A2, Pat 25 Jun, 1999, filed: September 16, 1998; Publication date: 25 March 1999.	
	Fong et al, "Composition containing human polypeptides with anti-angiogenic activity", P_AAY05768; WO9914234-A2; filed: September 14, 1998; Publication date: 25 March 1999.	
	Kato et al; unnamed protein product; CAC51169.1; WO0149728-A85; 12 Jul, 2001; Publication date: .	
	Cho et al; Direct submission to Microbiology, Kyung Hee University, Hoeki 1, Seoul, Korea; AAG16692.1; Submitted 26 June, 2000.	
	Isogai et al; Direct submission to Helix Research Institute, Genomics Laboratory, 1532-3 Yana, Kisarazu, Chiba 292-0812, Japan; BAB55069.1; submitted 10 May, 2001.	
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant



INFORMATION DISCLOSURE STATEMENT PTO-1449	ATTY. DOCKET NO. 39780-1618P2C39	SERIAL NO. 09/904,992
	APPLICANT Ashkenazi et al.	
	FILING DATE: 07/12/01	GROUP: 1636
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	Cho et al; "Cloning of novel serine carboxypeptidase precursor" Direct submission to Microbiology, Kyung Hee University, Hoeki 1, Seoul, Korea; RISC_HUMAN; Submitted 26 June, 2000.	
	Komatsoulis et al; "Isolated nucleic acid molecules encoding a human secreted protein is used in preventing, treating or ameliorating a medical condition," P_AAU96225; WO200224721-A1; Filing: 9 Jan. 2001; Publication date: 28 March 2002.	
	Shimkets et al; "Novel nucleic acids and peptides derived from open reading frame X, useful for treating e.g. cancers, proliferative disorders, neurodegenerative disorders and cardiovascular disease," P_AAB41675; WO200058473-A2, Filing: 31 March 1999; Publication date: 05 October 2000.	
	Liu et al; Direct submission to Molecular Medical Center for Cardiovascular Disease, Cardiovascular Institute, CAMS AND PUMC; 167, Bei Li Shi Lu, Beijing 100037, P.R. China; AAG39285.1; Accession No: AF113214; submitted 15 December 1998.	
	Chen et al; "Cloning of a novel retinoid-inducible serine carboxypeptidase from vascular smooth muscle cells," J. Biol. Chem. 276 (36), 34175-34181 (2001); NP_067639.	
	Baker et al; "One hundred and eighty seven nucleic acids encoding PRO polypeptides, useful in diagnosis and treatment of cardiovascular, endothelial or angiogenic disorders in a mammal", P_ABB84842; WO200200690-A2, Pat 19 Jul, 2002, Filing: July 9, 2001; Publication Date: January 3, 2002.	
	Baker et al; "One hundred and eighty seven nucleic acids encoding PRO polypeptides, useful in diagnosis and treatment of cardiovascular, endothelial or angiogenic disorders in a mammal", P_ABB95448; WO200208284-A2, Pat 19 Jul, 2002, Filing: July 9, 2001; Publication Date: January 31, 2002.	
	White et al; "Identifying a gene involved in disease for treating hypoxia-regulated conditions, comprises comparing the transcriptome/ proteome of two cell types under different conditions and identifying a differentially regulated gene" P_ABP65102; WO200246465-A2; Publication Date: 13 June 2002; Pat 12 Nov, 2002.	
	Miano et al; "New retinoid-inducible serine carboxypeptidase proteins and nucleic acids, useful for detecting or treating vascular diseases, e.g. vascular hyperplasia, atherosclerosis, asthma, glomerulonephritis, hypertension" P_ABB99215; WO200268599-A2, Publication date: 06 September 2002 Pat 29 Nov, 2002.	
	Ashkenazi et al; "Sixty one nucleic acids encoding PRO polypeptides which are useful in the treatment of skin diseases, cancers and neurodegenerative diseases", P_AAB80255; WO200104311-A1 Pat 24 Apr, 2001, Filed: February 22, 2000, Publication date: 18 January 2001.	
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

